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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named  
Inventor : David Ellis et al.

Appln. No.: 09/977,050

Filed : October 12, 2001

For : INTEGRATIVE RISK MANAGEMENT  
SYSTEM AND METHOD

Docket No.: S85.12-0001

Group Art Unit:

Examiner:

**RESPONSE TO NOTICE TO FILE MISSING PARTS  
OF APPLICATION - FILING DATE GRANTED  
UNDER 37 C.F.R. §§ 1.53(f) AND 1.16(e)**

Box Missing Parts  
Commissioner for Patents  
Washington, D.C. 20231

I HEREBY CERTIFY THAT THIS PAPER IS BEING  
SENT BY U.S. MAIL, FIRST CLASS, TO THE  
ASSISTANT COMMISSIONER FOR PATENTS,  
WASHINGTON, D.C. 20231, THIS

13 DAY OF May 2002  
  
PATENT ATTORNEY

Sir:

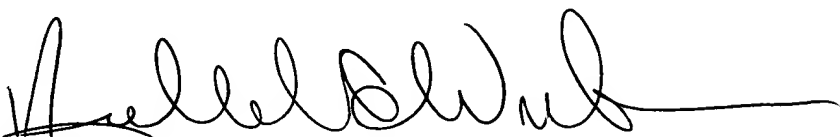
In response to the Notice to File Missing Parts of  
Application - Filing Date Granted dated November 14, 2001,  
Applicant encloses the following documents to complete the above-  
identified patent application filed October 12, 2001:

1. Our PTO Form 2038 in the amount of \$435.00 to cover the filing fee and surcharge fee.
2. Our PTO Form 2038 in the amount of \$720.00 to cover a Four-Month Extension of Time.
3. Two (2) separate Combined Declaration and Powers of Attorney executed by the inventor(s).
4. Fee Calculation Sheet.
5. Notice to File Missing Parts of Application-Filing Date Granted.

The Director is authorized to charge payment of any additional fees associated with this paper or credit any overpayment to Deposit Account No. 23-1123.

Respectfully submitted,  
WESTMAN, CHAMPLIN & KELLY, P.A.



By: 

Nickolas E. Westman, Reg. No. 20,147  
Suite 1600 - International Centre  
900 Second Avenue South  
Minneapolis, Minnesota 55402-3319  
Phone: (612) 334-3222 Fax: (612) 334-3312

NEW:lah

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Appln. No.: 09/977,050

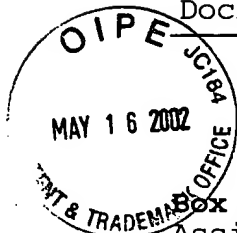
Filed : October 12, 2001

For : INTEGRATIVE RISK MANAGEMENT  
SYSTEM AND METHOD

Group Art Unit:

Examiner:

Docket No.: S85.12-0001



CERTIFICATE OF IDENTITY OF APPLICATION

Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

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ASSISTANT COMMISSIONER FOR PATENTS,  
WASHINGTON, D.C. 20231, THIS

13 DAY OF May, 2002  
  
PATENT ATTORNEY

Sir:

The application submitted herewith and the Declaration  
executed by Applicants Ellis, Higgs, King, Izanev and Wogan on  
November 23, 2001, and applicant Teixeira on November 28, 2001,  
which is attached, is the same as the application copy mailed to  
the United States Patent and Trademark Office and assigned  
Application No. 09/977,050 filed October 12, 2001 for INTEGRATIVE  
RISK MANAGEMENT SYSTEM AND METHOD.

Respectfully submitted,

WESTMAN, CHAMPLIN & KELLY, P.A.

By:

Nicholas E. Westman, Reg. No. 20,147  
Suite 1600 - International Centre  
900 Second Avenue South  
Minneapolis, Minnesota 55402-3319  
Phone: (612) 334-3222 Fax: (612) 334-3312

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor : David Ellis et al.	
Appln. No.: 09/977,050	
Filed : October 12, 2001	Group Art Unit:
For : INTEGRATIVE RISK MANAGEMENT SYSTEM AND METHOD	Examiner:
Docket No.: S85.12-0001	

### CERTIFICATE OF IDENTITY OF APPLICATION

**Box Missing Parts**  
Assistant Commissioner for Patents  
Washington, D.C. 20231

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ASSISTANT COMMISSIONER FOR PATENTS,  
WASHINGTON, D.C. 20231, THIS

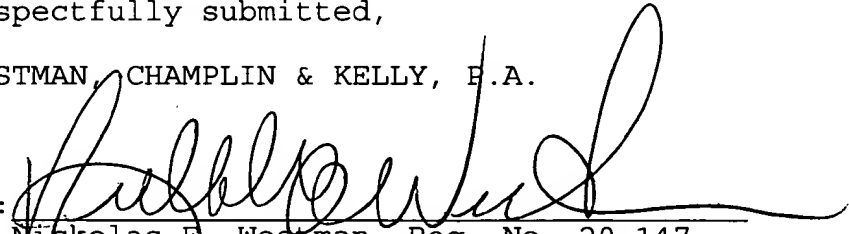
13 DAY OF May 2002  
  
PATENT ATTORNEY

Sir:

The application submitted herewith and the Declaration executed by the applicant Weiner on April 11, 2002, which is attached, is the same as the application copy mailed to the United States Patent and Trademark Office and assigned Application No. 09/977,050 filed October 12, 2001 for INTEGRATIVE RISK MANAGEMENT SYSTEM AND METHOD.

Respectfully submitted,

WESTMAN, CHAMPLIN & KELLY, P.A.

By:   
Nickolas E. Westman, Reg. No. 20,147  
Suite 1600 - International Centre  
900 Second Avenue South  
Minneapolis, Minnesota 55402-3319  
Phone: (612) 334-3222 Fax: (612) 334-3312

NEW:lah

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## FEE TRANSMITTAL



Complete if Known

Application No.	09/977,050
Filing Date	October 12, 2001
First Named Inventor	David Ellis et al.
Title	INTEGRATIVE RISK MANAGEMENT SYSTEM AND METHOD
Group Art Unit	2161
Examiner Name	
Atty. Docket Number	S85.12-0001

Total Amount of Payment \$ 1281

## METHOD OF PAYMENT (Check One)

1. ☒ The Director is hereby authorized to charge any additional fee required under 37 C.F.R. § 1.16 and 1.17, including any petition fee, and credit any over payments to Deposit Account No. 23-1123.  
Westman, Champlin & Kelly, P.A.

2. ☒ PTO Form 2038 Enclosed (2 forms)

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description
Fee	Fee	Fee	Fee	
Code	(\$)	Code	(\$)	
101	740	201	370	<input checked="" type="checkbox"/> Utility Filing Fee
106	330	206	165	<input type="checkbox"/> Design Filing Fee
108	740	208	370	<input type="checkbox"/> Reissue Filing Fee
114	160	214	80	<input type="checkbox"/> Prov. Filing Fee

Subtotal (1) \$ 370

## 2. EXTRA CLAIM FEES

	Number Claims	Prior**	Extra	Fee from Below	Fee Paid
Total	18	20	0	9	0
Indep.	6	3	3	42	126

Multiple Dependent Claims

\*\* Insert 3 and 20, or number previously paid if greater; Reissue see below

Large Entity		Small Entity		Description
Fee	Fee	Fee	Fee	
Code	(\$)	Code	(\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple Dependent Claims
109	84	209	42	Reissue Independent Claims over Original Patent
110	18	210	9	Reissue claims in excess of 20 and over original patent

Subtotal (2) \$ 126

## FEE CALCULATION (Continued)

## 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee	Fee	Fee	Fee		
Code	(\$)	Code	(\$)		
105	130	205	65	Surcharge - Late filing fee or oath	65
127	50	227	25	Surcharge - Late provisional Filing Fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For Filing a Request for Reexamination. (ex parte)	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	720
128	1,960	280	980	Extension for reply within fifth month	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
148	110	248	55	Terminal Disclaimer Fee	
140	110	240	55	Petition to Revive - unavoidable	
141	1,310	241	670	Petition to Revive - unintentional	
142	1,310	242	670	Utility/Reissue issue fee (inc. advance copies)	
143	490	243	260	Design issue fee (inc. advance copies)	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Statement	
581	40	581	40	Recording each patent assignment per property (times number of properties)	

Other Fee (specify) \_\_\_\_\_

Subtotal (3) \$785

Signature Michael E. Westman  
(Michael E. Westman)

Reg. No. 20,147Date 5/13/02Deposit Account No. 23-1123

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## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
Q9/977,050	10/12/2001	David Ellis	S85.12-0001

CONFIRMATION NO. 1800

## FORMALITIES LETTER



\*OC000000007062874\*

WESTMAN, CHAMPLIN & KELLY, P.A.  
International Center  
Suite 1600  
900 Second Avenue South  
Minneapolis, MN 55402-3319

Date Mailed: 11/14/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 740 to complete the basic filing fee for a non-small entity. If appropriate, applicant may make a written assertion of entitlement to small entity status and pay the small entity filing fee (37 CFR 1.27).*
- Total additional claim fee(s) for this application is \$252.
  - \$252 for 3 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1122.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

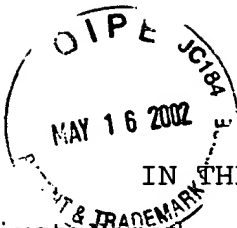
PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/17/2002 SFELEKE1 00000045 09977050

01 FC:201  
02 FC:205

370.00 OP  
65.00 OP

05/20/2002 ZIUHAR1 00000064 231123 09977050  
01 FC:202 126.00 CH



#7

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Inventor : David Ellis et al.

Appln. No.: 09/977,050

Filed : October 12, 2001

For : INTEGRATIVE RISK MANAGEMENT  
SYSTEM AND METHOD

Docket No.: S85.12-0001

Group Art Unit:

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LETTER TO OFFICIAL DRAFTSPERSON

Commissioner for Patents  
Washington, D.C. 20231

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PATENT ATTORNEY

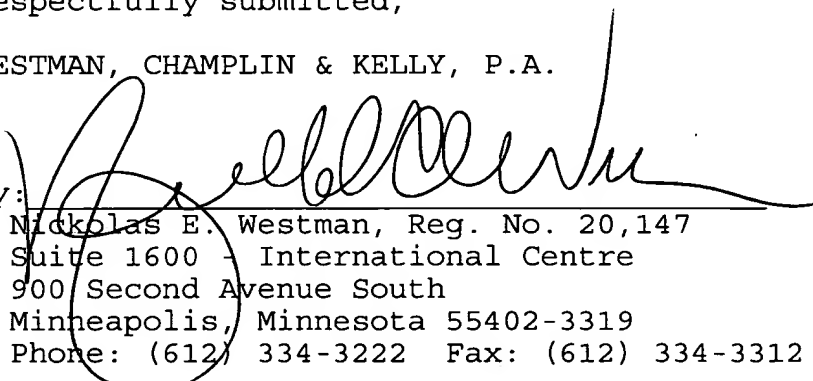
Sir:

Enclosed are **two** (2) sheets of formal drawings for  
filing in the above-identified application.

Respectfully submitted,

WESTMAN, CHAMPLIN & KELLY, P.A.

By:

  
Nicholas E. Westman, Reg. No. 20,147  
Suite 1600 - International Centre  
900 Second Avenue South  
Minneapolis, Minnesota 55402-3319  
Phone: (612) 334-3222 Fax: (612) 334-3312

NEW:lah